



TFW 2143

PTO/SB/21 (09-04)  
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/774,768
	Filing Date	January 31, 2001
	First Named Inventor	Dror Segal et al.
	Art Unit	2143
	Examiner Name	Pwu, Jeffrey C.
Total Number of Pages in This Submission	Attorney Docket Number	070388.0620 (AP32941)

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Receipt Postcard.
<input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm Name	Baker Botts LLP	Customer No. 21003
Signature		
Printed name	Gary M. Butter	
Date	09/01/2006	Reg. No. 33,841

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# FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0.00

## Complete if Known

Application Number	09/774,768
Filing Date	January 31, 2001
First Named Inventor	Dror Segal et al.
Examiner Name	Pwu, Jeffrey C.
Art Unit	2143
Attorney Docket No.	070388.0620 (AP32941)

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
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Deposit  
Account  
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02-4377

Baker Botts L.L.P.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

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## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee	Fee Code	Fee		
1001		2001		Utility filing fee	
1002		2002		Design filing fee	
1003		2003		Plant filing fee	
1004		2004		Reissue filing fee	
1005		2005		Provisional filing fee	

SUBTOTAL (1) (\$ ) 0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims	Fee from below	Fee Paid
Total Claims	-20	=	X	=0
Independent Claims	-3	=	X	=0
Multiple Dependent				=0

Large Entity		Small Entity		Fee Description
Fee Code	Fee	Fee Code	Fee	
1202		2202		Claims in excess of 20
1201		2201		Independent claims in excess of 3
1203		2203		Multiple dependent claim, if not paid
1204		2204		** Reissue independent claims over original patent
1205		2205		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee	Fee Code	Fee		
1051		2051		Surcharge - late filing fee or oath	
1052		2052		Surcharge - late provisional filing fee or cover sheet	
1053		1053		Non-English specification	
1812		1812		For filing a request for <i>ex parte</i> reexamination	
1804		1804		Requesting publication of SIR prior to Examiner action	
1805		1805		Requesting publication of SIR after Examiner action	
1251		2251		Extension for reply within first month	
1252		2252		Extension for reply within second month	
1253		2253		Extension for reply within third month	
1254		2254		Extension for reply within fourth month	
1255		2255		Extension for reply within fifth month	
1401		2401		Notice of Appeal	
1402		2402		Filing a brief in support of an appeal	
1403		2403		Request for oral hearing	
1451		1451		Petition to institute a public use proceeding	
1452		2452		Petition to revive - unavoidable	
1453		2453		Petition to revive - unintentional	
1501		2501		Utility issue fee (or reissue)	
1502		2502		Design issue fee	
1503		2503		Plant issue fee	
1460		1460		Petitions to the Commissioner	
1807		1807		Processing fee under 37 CFR 1.17(q)	
1806		1806		Submission of Information Disclosure Stmt	
8021		8021		Recording each patent assignment per property (times number of properties)	
1809		2809		Filing a submission after final rejection (37 CFR 1.129(a))	
1810		2810		For each additional invention to be examined (37 CFR 1.129(b))	
1801		2801		Request for Continued Examination (RCE)	
1802		1802		Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

## SUBMITTED BY

Name (Print/Type) Gary M. Butter

Signature

Registration No.  
(Attorney/Agent)

33,841

(Complete if applicable)

Telephone 212 408-2546

Date 09/01/2006

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**BAKER BOTTS** LLP

Attorney Docket Number: 070388.0620 (AP32941)

Title: VIRTUAL TRADING FLOOR SYSTEM AND METHOD



Use Space Below for Additional Information:



AP32941 – 070388.0620  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Dror Segal *et al.*  
Serial No. : 09/774,768 Examiner : Pwu, Jeffrey C.  
Filed : January 31, 2001 Group Art Unit : 2143  
For : VIRTUAL TRADING FLOOR SYSTEM AND METHOD

RESPONSE TO OFFICIAL ACTION

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on:

September 2, 2006

Date of Deposit

Gary M. Butter

Attorney Name

Signature

33,841

PTO Reg. No.

September 2, 2006

Date of Signature

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is in response to the non-final Official Action mailed June 2, 2006  
for the above-identified patent application. Applicants respectfully request consideration of  
the following remarks.

**Remarks** begin at page 2 of this paper.